

09/27/01



JC849 U.S. PTO

BAKER BOTTS LLP

09-28-01

A

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

A34646 (071308.0240)

First Inventor

Martin Kiesel

Title

Device and Process \* see attached

Express Mail Label No.

EL866934209US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 9]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
- ☒ Claim(s) [Total Sheets 4]  
☒ Abstract of the Disclosure [Total Sheets 1]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages ]
- a. ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))
- b. ☐ (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: .....

Prior application information: Examiner .....

Group Art Unit: .....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

21003

(Insert Customer No. or Attach bar code label here)

or ☐

Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Bradley B. Geist

Registration No. (Attorney/Agent)

27,551

Signature

Date

9/27/01

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09/27/01



09/27/01

## Addendum Sheet 1

## \*Question 4 Addendum

4.a. Drawings are ☒ formal ☐ informal

## \* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

## \* Question 9 Addendum

9.a. ☒ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in  
parent application No.

## \* Question 11 Addendum

11.a. ☒ English translation will follow.

## \* Question 12 Addendum

12.a. ☒ Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a. ☒ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent  
application No.

Use the space below for additional information

|  |
|--|
|  |
|--|

Title (continued):

Device and Process for Operation of Automation Components

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.:

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.:

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.:

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein

Priority under 35 U.S.C. §119 is claimed based upon the following applications.

## Foreign Applications:

Country: Germany

Serial No: 101 077 48.3

Filing Date: 2/16/01

Country: Germany

Serial No: 101 295 67.7

Filing Date: 6/20/01

Country: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

## Provisional Applications:

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT (\$ 840)**

## Complete if Known

|                      |                      |
|----------------------|----------------------|
| Application Number   | t/b/a                |
| Filing Date          | September 27, 2001   |
| First Named Inventor | Martin Kiesel        |
| Examiner Name        | t/b/a                |
| Group Art Unit       | t/b/a                |
| Attorney Docket No.  | A34646 (071308.0240) |

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **02-4377**
- Deposit Account Name **Baker Botts LLP**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ **Payment Enclosed:**
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 710                   | 355                   | Utility filing fee     | 710      |
| 320                   | 160                   | Design filing fee      |          |
| 490                   | 245                   | Plant filing fee       |          |
| 710                   | 355                   | Reissue filing fee     |          |
| 150                   | 75                    | Provisional filing fee |          |

**SUBTOTAL (1) (\$ 710)**

### 2. EXTRA CLAIM FEES

Total Claims **22** Extra Claims **2** Fee from below **0** Fee Paid **0**

Independent Claims **2** -3\*\* = **0** Fee from below **0** Fee Paid **0**

Multiple Dependent  Fee from below  Fee Paid

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description  |
|-----------------------|-----------------------|--|
| 18                    | 9                     | Claims in excess of 20                                     |
| 80                    | 40                    | Independent claims in excess of 3                          |
| 270                   | 135                   | Multiple dependent claim, if not paid                      |
| 80                    | 40                    | ** Reissue independent claims over original patent         |
| 18                    | 9                     | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2) (\$ 0)**

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 130                   | 65                    | Surcharge - late filing fee or oath  |          |
| 50                    | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 130                   | 130                   | Non-English specification  | 130      |
| 2,520                 | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 920*                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 1,840*                | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 110                   | 55                    | Extension for reply within first month                                     |          |
| 390                   | 195                   | Extension for reply within second month                                    |          |
| 890                   | 445                   | Extension for reply within third month                                     |          |
| 1,390                 | 695                   | Extension for reply within fourth month                                    |          |
| 1,890                 | 945                   | Extension for reply within fifth month                                     |          |
| 310                   | 155                   | Notice of Appeal   |          |
| 310                   | 155                   | Filing a brief in support of an appeal                                     |          |
| 270                   | 135                   | Request for oral hearing   |          |
| 1,510                 | 1,510                 | Petition to institute a public use proceeding                              |          |
| 110                   | 55                    | Petition to revive - unavoidable   |          |
| 1,240                 | 620                   | Petition to revive - unintentional   |          |
| 1,240                 | 620                   | Utility issue fee (or reissue)   |          |
| 440                   | 220                   | Design issue fee   |          |
| 600                   | 300                   | Plant issue fee  |          |
| 130                   | 130                   | Petitions to the Commissioner  |          |
| 50                    | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 180                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 40                    | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 710                   | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 710                   | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 710                   | 355                   | Request for Continued Examination (RCE)                                    |          |
| 900                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$ 130)**

## SUBMITTED BY

Name (Print/Type)

**Bradley B. Geist**

Signature

*Bradley B. Geist*

Registration No. (Attorney/Agent)

**27,551**

## Complete (if applicable)

Telephone

**(212) 408-2562**

Date

**9/27/01**

**BAKER BOTTS** LLP

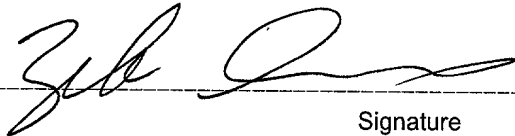
**Certificate of Mailing under 37 CFR 1.8**

I hereby certify that this correspondence\* is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

on September 27, 2001

Date

  
Signature

ZEKE SERRANO  
Typed or printed name of person of signing Certificate



Express Mail Label No: EL866934209US

\* Correspondence

09/27/01 09:59:50